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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/895,866
Filing Date	June 29, 2001
First Named Inventor	Sambasivan
Group Art Unit	1751
Examiner Name	
Attorney Docket Number	5991

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Response
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☒ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/
Incomplete Application
 - ☒ Response to Missing
Parts under 37 CFR
1.52 or 1.53

- ☐ Assignment Papers
(for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a
Provisional Application
- ☐ Power of Attorney, Revocation
Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s)

- ☐ After Allowance Communication to
Group
- ☐ Appeal Communication to Board of
Appeals and Interferences
- ☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter

- ☒ Other Enclosure(s)
(please identify below):

**Declaration for Utility or Design Patent
Application****Statement by Attorney that Application
Being filed in PTO is the One Inventor
Executed by Signing Declaration**

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

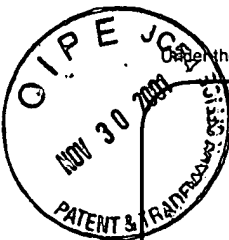
Firm or Individual name	Rodney D. DeKruif Reinhart Boerner Van Deuren, s.c.
Signature	
Date	11/30/01

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail No. EL835271487US in an envelope addressed to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202 on November 30, 2001.

Typed or printed name	Rodney D. DeKruif		
Signature		Date	11/30/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. MW/803626



FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 643.00

Complete if Known

Application Number 09/895,866

Filing Date June 29, 2001

First Named Inventor Sambasivan

Examiner Name

Group / Art Unit 1751

Attorney Docket No. 5991

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge any deficient fees and credit any over payments to:

Deposit
Account
Number

18-0882

Deposit
Account
Name

Reinhart, Boerner, et al.

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	\$370.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$370.00)

2. EXTRA CLAIM FEES

Total Claims	37	-20	=	Extra Claims 17	X	Fee from below 9.00	=	Fee Paid \$153
Independent Claims		-3	=		X		=	
Multiple Dependent	1				X		=	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$153.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	55.00
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$120.00)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Rodney D. DeKruif

Registration No. Attorney/Agent

35,853

Telephone

414-298-8360

Signature

Date

November 30, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. MW/803601



PATENT
Attorney Docket No. 5991

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sambasivan, et al.

Serial No.: 09/895,866

Group No.: 1751

Filed: 06/29/01

Examiner:

For: CONDUCTIVE AND ROBUST NITRIDE BUFFER LAYERS ON BIAXIALLY TEXTURED SUBSTRATES

U.S. Patent and Trademark Office

P.O. Box 2327

Arlington, VA 22202

**STATEMENT BY ATTORNEY THAT APPLICATION BEING FILED IN PTO IS THE ONE
INVENTOR EXECUTED BY SIGNING DECLARATION**

NOTE: This form is to be used when the declaration only indicates the name(s) of the inventor(s) and the title of the invention. Notice of September 12, 1983, 1035 O.G. 3.

I, Rodney D. DeKruif
Name of Attorney

Reinhart Boerner Van Deuren, s.c.,
1000 North Water Street, Milwaukee, Wisconsin 53202

Reg. No. 35,853 Tel. No. (414) 298-8360

state I am the attorney for this application and the application identified above is the application which the inventor(s) executed by signing the declaration which is being submitted herewith.

Rodney D. DeKruif
Signature of Attorney

****FOR DIVISIONAL APPLICATIONS****

****The application is being filed pursuant to Section 1.60. A true copy is enclosed of the prior complete application as filed in the parent application _____ including the specification (with claims), drawings, oath or declaration showing the signature or an indication it was signed, and any amendments referred to in the oath or declaration filed to complete the prior application. No amendments referred to in the oath or declaration filed to complete the prior application introduced new matter therein.**

Certificate of Mailing/Transmission (37 CFR 1.10)

I hereby certify that this correspondence is, on the date shown below, being:

Mailing

[X] deposited with the United States Postal Service with sufficient postage as Express Mail No. EL835271487US in an envelope addressed to the U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.

Facsimile

[] transmitted by facsimile to the Patent and Trademark Office

Date: November 30, 2001

Rodney D. DeKruif
Signature

Rodney D. DeKruif
(type or print name of person certifying)

NOTE: The PTO accepts the filing of a continuing application as a response under 37 CFR 1.136 and 1.137. To facilitate processing in such a case, the petition for extension of time should specifically refer to the filing of a continuing application and also include an express abandonment of the prior application conditioned upon the granting of the petition and the granting of a filing date to the continuing application. Notice of May 13, 1983, 1031 O.G. 11-12.

☒ The response is the filing of a continuation application having an express abandonment conditioned on the granting of a filing date to the continuing application.

3. Applicant is

☒ a small entity. A verified statement:

☐ is attached.

☒ was already filed.

☐ other than a small entity.

4. Calculation of extension fee (37 CFR 1.17(a)-(d)):

<u>Extension (months)</u>	<u>Fee for other than small entity</u>	<u>Fee for small entity</u>
<input checked="" type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 380.00	\$190.00
<input type="checkbox"/> three months	\$ 920.00	\$460.00
<input type="checkbox"/> four months	\$1,360.00	\$680.00
	Fee	\$ 55.00

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

☒ An extension for _____ months has already been secured and the fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$55.00

5. Extended period for response

Based on the extension requested in this petition (and that for which a previous petition has been filed, if any), the extended period for response will expire on November 30, 2001.

Date

6. Fee Payment

NOTE: If there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO Finance Branch in order to apply these charges prior to action on the cases. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986; 1065 O.G. 31-33.

☒ Attached is a check including the sum of \$ 55.00 for the extension.

☒ Charge Account 18-0882 for any fee deficiency or additional extension and/or fee required or credit for any excess fee paid.

☐ Charge fee to Account No. _____ This is a request to charge for any additional extension and/or fee required or credit for any excess fee paid.

A duplicate copy of this petition is attached.

Reg. No.: 35,853

Tel. No.: (414)298-8360



SIGNATURE OF ATTORNEY

Rodney D. DeKruif

(type or print name of attorney)

Attn: Linda Gabriel, Docket Clerk

1000 North Water Street

P.O. Address

Milwaukee, WI 53202



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/895,866	06/29/2001	Sankar Sambasivan	5991

CONFIRMATION NO. 5367

22922
REINHART BOERNER VAN DEUREN NORRIS & RIE
SELBACH, S.C.
ATTN: LINDA GABRIEL, DOCKET COORDINATOR
1000 NORTH WATER STREET SUITE 2100
MILWAUKEE, WI 53202-3186

FORMALITIES LETTER



OC000000006496168

Date Mailed: 08/30/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)


Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$153.
 - \$153 for 17 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 573.

*A copy of this notice **MUST** be returned with the reply.*

12/04/2001 SDENB051 00000097 09095066


Customer Service Center
Initial Patent Examination Division (703) 308-1202

01 FC:201
02 FC:203
03 FC:205

370.00 CP
153.00 OP
65.00 OP

PART 2 - COPY TO BE RETURNED WITH RESPONSE